

# Complaints and Appeals Procedures

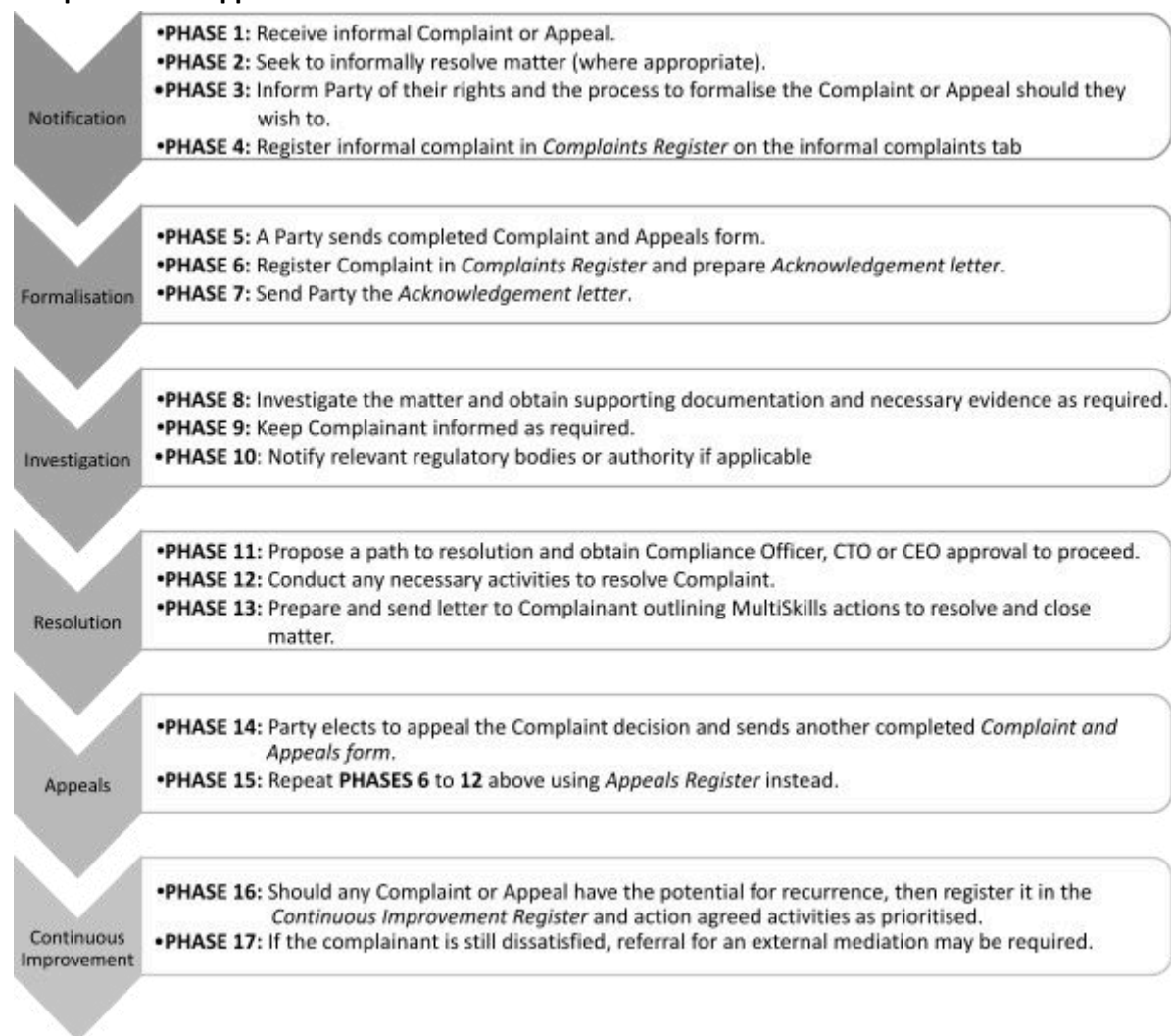
Trade Training Group ta MultiSkills Training – RTO: 40846



Purpose:	The purpose of this procedure is to ensure that MultiSkills manages its Complaints, and, Appeals to Complaints within the principles outlined by the <i>Complaints and Appeals Policy</i> .
Scope:	This procedure applies to all MultiSkills staff, contractors, relevant third parties and students.
Responsibilities:	The CEO is ultimately accountable for adherence to these procedures.
Standards:	This procedure contributes to compliance with clauses 6.1, 6.2, 6.3, 6.4, 6.5 & 6.6.
Policy:	This procedure supports compliance with the <i>Complaint and Appeals</i> and <i>Compliance and Governance</i> policies.
Tools:	This procedure is supported through the application of the <i>Complaint and Appeals Form</i> , <i>Complaints and Appeals Acknowledgement Letter</i> , <i>Complaints &amp; Appeals Register</i> .

**NOTE:** The term Party referred to within this procedure could relate to MultiSkills staff, contractors, students or any applicable third parties, employers of students or guardians/parents of students. The terms Complaints and Appeals take the meaning as defined within the *Complaints and Appeals Policy*.

## Complaints and Appeals Process Flow



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## PHASE 1: Receive Informal Complaint or Appeal.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>A party refers a complaint or appeal matter to a MultiSkills representative informally either in-person, via phone call or by emailing <a href="mailto:complaints@multiskills.com.au">complaints@multiskills.com.au</a></li> </ul>	Complainant or Appellant	At their sole discretion.
<ul style="list-style-type: none"> <li>MultiSkills representative receiving the informal complaint or appeal must:                             <ul style="list-style-type: none"> <li>Receive information in an empathetic manner creating a safe environment for the Party to clearly express their grievances or guarantees for an outcome;</li> <li>Under no circumstances volunteer an opinion regarding the issue relating to the grievance;</li> <li>If MultiSkills Representative can suggest an informal approach to resolution (if appropriate) – refer to <b>PHASE 2</b> of this procedure;</li> <li>If MultiSkills Representative is not able to suggest an informal approach to resolution (as appropriate), refer the Party to another MultiSkills Representative who will be able to nominate an informal approach to resolution (and brief and handover the matter to an alternative MultiSkills representative to continue with this procedure);</li> <li>Remind the Party of their rights under MultiSkills <i>Complaints and Appeals Policy</i> to raise a formal complaint;</li> <li>Should the matter be of a serious nature, apply the judgement necessary to refer the matter immediately to MultiSkills Compliance Officer, CTO or CEO for their discernment, including informing authorities.</li> </ul> </li> </ul>	MultiSkills Representative receiving Complaint or Appeal	Immediately if via phone, or, for all other methods, within one business day of informal Complaint or Appeal.
<ul style="list-style-type: none"> <li>Should the party be open to an informal resolution, proceed with <b>Phase 2</b> of this procedure. Should the party decide not to proceed with either informal or formal resolution, the procedure concludes with no further action required. If the party wishes to pursue a formal Complaint or Appeal, proceed to <b>Phase 3 or 5</b> of this procedure.</li> </ul>	MultiSkills Representative receiving informal Complaint or Appeal	Immediately if via phone, or, for all other methods, within one business day of informal Complaint or Appeal.

**Note:** in some instances, this procedural step may be redundant should the party decide to go straight to Phase 4 with lodgement of a formal Complaint or Appeal.

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## PHASE 2: Seek to resolve matters informally (where appropriate).

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Considering the principles outlined by <b>paragraph (a)</b> in the <i>Complaint and Appeals Policy</i>, suggest an informal resolution to the Party outlining the merits, process and intended outcomes of the suggested approach and ascertain their appetite to participate in an informal resolution to the matter.</li> </ul>	MultiSkills Representative assigned to the informal Complaint or Appeal	Within one business day of receiving an informal Complaint or Appeal.
<ul style="list-style-type: none"> <li>Should the party consent to an informal resolution which involves parties interacting, then ensure each party is adequately briefed, treated fairly, and feels safe to volunteer their perspectives on the matter. If the matter is subsequently resolved, no further action is required, concluding this procedure.</li> <li>Should MultiSkills Representative conclude that there may be a potential recurrence of similar causes for future complaints or appeals, then the matter needs to be registered in the <i>Continuous Improvement Register</i> and treated in accordance with the <i>Compliance and Governance Policy</i> with judgement applied on the importance and urgency of working on the issue.</li> </ul>	MultiSkills Representative assigned to the informal Complaint or Appeal	At RTO Representative's discretion and agreement between parties.
<ul style="list-style-type: none"> <li>Should the party decide not to proceed with either an informal or formal resolution, conclude this phase of the procedure with no further action required. If the party wishes to pursue a formal complaint or appeal, then proceed to either <b>Phase 3</b> or <b>Phase 5</b> of this procedure.</li> </ul>	MultiSkills Representative assigned to the informal Complaint or Appeal	Within 1 Business Day of informal Complaint or Appeal.

**Note:** in some instances, this procedural phase may be redundant should the party decide to go straight to **Phase 4** with a lodgement of a formal Complaint or Appeal.

## PHASE 3: Inform Party of their rights and process to formalise the complaint or appeal.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Should the party decide to raise a formal complaint or appeal, direct them to the <i>Complaints and Appeals Policy</i> and then the <i>Complaints and Appeals Form</i> (published on the website and further contained in the <i>Student Handbook</i>). Request that they complete the form in a timely manner at their discretion and follow the instructions contained in the form. Return the form either in-person, via phone call or by emailing <a href="mailto:complaints@multiskills.com.au">complaints@multiskills.com.au</a></li> </ul>	MultiSkills Representative assigned to the informal Complaint or Appeal	Immediately or as soon as practicable.

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## PHASE 4: Register Informal Complaint in *Complaints Register*.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Register informal complaints in the <i>Complaints &amp; Appeals Register</i> on the Informal Complaints tab. Transcribe key information regarding the informal complaint.</li> </ul>	MultiSkills Representative receiving the complaint	Immediately or as soon as practicable.

## PHASE 5: A Party sends completed *Complaint and Appeals form*.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Check the <i>Complaints and Appeals form</i> for legibility and completeness (including any supporting documentation). Should this suffice, proceed to <b>Phase 6</b>. Otherwise, liaise with the party to resolve open issues.</li> </ul>	MultiSkills Representative receiving <i>Complaint and Appeals Form</i> .	Immediately or as soon as practicable.

## PHASE 6: Register Complaint in *Complaints Register* and prepare *Acknowledgement letter*.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Register the complaint in the <i>Complaints Register</i> by transcribing key information at this stage of the process and obtain a Complaints Reference Number.</li> </ul>	MultiSkills Representative receiving <i>Complaint and Appeals Form</i>	Immediately or as soon as practicable.
<ul style="list-style-type: none"> <li>Pre-populate the <i>Complaint and Appeals Acknowledgement letter</i> with the specifics of the matter and include the corresponding Complaints Reference Number obtained from the <i>Complaints Register</i>.</li> </ul>		
<ul style="list-style-type: none"> <li>Provide a copy of the <i>Complaint and Appeals form (and any supporting documents)</i> and the pre-prepared <i>Complaint and Appeals Acknowledgement letter</i> for the Compliance Officer, CTO or CEO's review, approval, and signature to release the letter to the party. The Compliance Officer, CTO or CEO to assign the matter to appropriate Representatives and provide any initial procedural guidance.</li> </ul>		

## PHASE 7: Send Party the *Acknowledgement letter*.

<ul style="list-style-type: none"> <li>Send the party the <i>Complaints and Appeals Acknowledgement letter</i>.</li> </ul> <p><b>Note:</b> This can be done electronically via email if the attachment is a pdf or via post.</p>	MultiSkills Representative assigned by Compliance Officer, CTO or CEO	Within two business days of receipt of completed form.
<ul style="list-style-type: none"> <li>Update the complaint in the <i>Complaints Register</i> with the date of the acknowledgement letter and MultiSkills Representative assigned by Compliance Officer, CTO or CEO.</li> </ul>	MultiSkills Representative assigned by Compliance Officer, CTO or CEO	Within two business days of receipt of completed form.

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## PHASE 8: Investigate the matter and obtain supporting documentation and necessary evidence as required.

<ul style="list-style-type: none"> <li>● MultiSkills Representative assigned to investigate the complaint or appeal, ensuring:             <ul style="list-style-type: none"> <li>○ All parties involved with the complaint or appeal are informed and liaised with ensuring that they feel safe and treated fairly with minimum disruption to current training services (where possible);</li> <li>○ The investigation is conducted procedurally upholding all principles outlined by <b>paragraph (a)</b> in the <i>Complaints and Appeals Policy</i>;</li> <li>○ Supporting evidence is gathered where appropriate.</li> <li>○ The merits of independent external management of the complaint are assessed; and</li> <li>○ Adequate discernment of all facts of the matter to conclude a proposed path to resolution, including any associated recommended actions.</li> </ul> </li> </ul>	<p>MultiSkills Representative assigned by Compliance Officer, CTO or CEO</p>	<p>At MultiSkills discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i>.</p>
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## PHASE 9: Keep Complainant informed as required.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>● During the investigation, ensure that the complainant and any other parties are regularly updated at your discretion, within the parameters outlined within the <i>Complaints and Appeals Policy</i>. If the investigation takes more than 60 calendar days to resolve, written notification is provided to the Claimant outlining clear reasons for the nominated timeframe.</li> </ul> <p>When providing updates, ensure that you do not volunteer your opinion or make any representations on the outcome, stick to procedural updates. Should MultiSkills decide to provide an update in written form, use the <i>Student Complaints and Appeals Acknowledgement letter</i> template and provide the letter for the Compliance Officer, CTO or CEO’s review, approval, and signature prior to release to the party.</p>	<p>MultiSkills Representative assigned by CEO to matter</p>	<p>At MultiSkills discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i>.</p>

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## PHASE 10: Contact the relevant regulatory body or authority if applicable.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>At the conclusion of the investigation, if a serious offence or breach of law, legislation or regulatory requirements has been committed, the relevant authority or regulatory body must be advised immediately.</li> </ul>	MultiSkills Representative assigned by Compliance Officer, CTO or CEO	As soon as the investigation has identified the offence or breach has occurred.

## PHASE 11: Propose a path to resolution and obtain CEO approval to proceed.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>At the conclusion of the investigation, present the facts of the matter and make a considered recommendation for a path to resolution for the Compliance Officer, CTO or CEO's approval. Should the Compliance Officer, CTO or CEO concur with your recommendation, proceed to <b>Phase 12</b> of this procedure; otherwise, take the Compliance Officer, CTO or CEO's instruction for any remediation required.</li> </ul> <p><b>Note:</b> the Compliance Officer, CTO or CEO is ultimately responsible for the management of complaints, and as such, this procedure should not proceed further without this approval. There will be instances where 'no further action required' is the conclusion of the investigation.</p>	MultiSkills Representative assigned by Compliance Officer, CTO or CEO	At MultiSkills discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i> .

## PHASE 12: Conduct any necessary steps to resolve Complaint.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Action any corresponding actions that result from the approved recommendation from <b>Phase 9</b> of this procedure. In conclusion, update the complaint record in the <i>Complaints Register</i>.</li> </ul>	MultiSkills Representative assigned by Compliance Officer, CTO or CEO	At MultiSkills discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i> .

## PHASE 13: Prepare and send letter to Complainant outlining MultiSkills actions to resolve and close issue.

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Use the <i>Complaints and Appeals Acknowledgement Letter Template</i> to generate a letter to notify the complainant of MultiSkills actions (if any) to resolve and close the issue. Provide the letter for the CEO's review, approval, and signature to release the letter to the party. Send the letter to the complainant. Update the complaint records in the <i>Complaints Register</i>. Proceed to <b>Phase 16</b> if and as applicable.</li> </ul>	MultiSkills Representative Assigned by CEO to matter	At MultiSkills discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i> .

**Note:** This procedure document can conclude for complaints after this **phase**, however, should a party elect to Appeal the resolution by MultiSkills, then follow the remainder of this procedure document.

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**PHASE 14: Party elects to Appeal the Complaint and sends another completed *Complaint and Appeals form*.**

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Check the <i>Complaints and Appeals form</i> for legibility and completeness (including any supporting documentation). Should this suffice, proceed to <b>Phase 15</b>, otherwise liaise with the party to resolve open issues.</li> </ul>	MultiSkills Representative receiving Form	Immediately or as soon as practicable.

**PHASE 15: Repeat PHASES 6 to 13 of this Procedure using the Appeals Register instead.**

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>MultiSkills approach to assessing, investigating, and resolving a complaint does not differ from an appeal lodged against a former complaint. Therefore, repeat <b>PHASES 6 to 13</b> outlined in this procedure document, with the <b>only</b> exception being the utilisation of the <i>Appeals Register</i> rather than the <i>Complaints Register</i>.</li> </ul>	Refer to <b>PHASES 6 to 13</b> above for respective accountabilities and expected timelines.	

**STEP 16: Should any Complaint or Appeal have the potential for reoccurrence, then register it in the *Continuous Improvement Register* and action agreed activities as prioritised.**

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>Apply judgement necessary to determine if there is any merit in a solution that might reduce the risk of a reoccurrence and if so, register this in the <i>Continuous Improvement Register</i>.</li> </ul>	MultiSkills Representative Assigned by Compliance Officer, CTO or CEO	Registered within one business day on the resolution of the formal Complaint or Appeal.

**STEP 17: Referral for external mediation**

Procedural Step	Accountability	When
<ul style="list-style-type: none"> <li>If the complainant is still dissatisfied with the decision, they may wish to seek legal advice or submit an application with an external dispute resolution process by a relevant body appointed at their own cost.</li> </ul> <p>The Dispute Settlement Centre of Victoria (DSCV) is a free dispute resolution and mediation service funded by the Victorian Government. It may be able to assist or resolve any outstanding complaint or issue with the complaint handling process. Further details and office locations for this service are available from <a href="http://www.disputes.vic.gov.au/">http://www.disputes.vic.gov.au/</a></p> <p>Organisation: Disputes Settlement Centre of Victoria                      Contact Point: Melbourne Office                      Level 4, 456 Lonsdale Street                      Melbourne VIC 3000                      Tel: 1300 372 888</p>	Appellant	At their sole discretion.

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